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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

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Technology Center 2100

<b>TRANSMITTAL FORM</b>		Application Number	09/213613
		Filing Date	Dec 18, 1998
		First Named Inventor	Gupta
		Group Art Unit	2154
		Conf. No.	6656
		Examiner Name	Caldwell
Total Number of Pages in This Submission		Attorney Docket Number	19898/5 130-001

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <p>Response to Request for Information Under 37 CFR 1.105, with enclosures</p> <p>PTO Form 2038</p>
Remarks		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Lindsay G. McGuinness, Reg. No. 38,549 Steubing McGuinness & Manaras LLP
Signature	
Date	February 10, 2003

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date:

Type or printed name	Carol Ann Mahoney
Signature	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/SB/17 (10-02)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

Applicant Claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** **(\$)** **410.00**

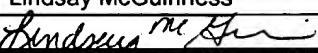
**Complete if Known**

Application Number	09/213613
Filing Date	12/18/1998
First Named Inventor	Gupta
Examiner Name	Caldwell
Art Unit	2154
Attorney Docket No.	19898/5 130-001

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METHOD OF PAYMENT (check all that apply)				FEE CALCULATION (continued)																																																																																																																																																									
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ADDITIONAL FEES</b> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th colspan="2">Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Fee Code</td> <td>Fee (\$)</td> <td>Fee Code</td> <td>Fee (\$)</td> <td></td> </tr> <tr> <td>1051</td> <td>130</td> <td>2051</td> <td>65</td> <td>Surcharge – late filing fee or oath</td> </tr> <tr> <td>1052</td> <td>50</td> <td>2052</td> <td>25</td> <td>Surcharge – late provisional filing fee or cover sheet</td> </tr> <tr> <td>1053</td> <td>130</td> <td>1053</td> <td>130</td> <td>Non-English specification</td> </tr> <tr> <td>1812</td> <td>2,520</td> <td>1812</td> <td>2,520</td> <td>For filing a request for ex parte reexamination</td> </tr> <tr> <td>1804</td> <td>920*</td> <td>1804</td> <td>920*</td> <td>Requesting publication of SIR prior to Examiner action</td> </tr> <tr> <td>1805</td> <td>1,840*</td> <td>1805</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> </tr> <tr> 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SUBMITTED BY		Complete if applicable		
Name (Print/Type)	Lindsay McGuinness		Registration No. (Attorney/Agent)	38,549
Signature			Telephone	978-264-6664
Date				February 10, 2003

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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Attorney's Docket No.: 130/001  
EMC-97-060

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Technology Center 2100  
2-24-03

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gupta et al.  
Serial No.: 09/213,613  
Filed: January 22, 2002  
For: **MESSAGING MECHANISM FOR INTER PROCESSOR  
COMMUNICATION**  
Art Unit: 2154  
Examiner: Andrew Caldwell

RESPONSE TO REQUEST FOR INFORMATION UNDER 37 CFR 1.105

BOX AMENDMENT  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please enter the below response to the Request for Information dated October 8, 2002.

1. The Request for Information requires a copy of any information relevant to the Symmetrix model(s) 55XX describing interprocessor communication between the service processor and disk adapters, including the Symmetrix Model 55XX product manual, P-N200-810-550, rev. F, February 1996.

In response to this request, the Applicant submits herewith the Symmetrix Model 5500 Product Manual, P/N 200-810-550, rev. G, August 1996. After a reasonable search, rev. F of the document does not appear to be readily available.

2. The Request for Information requires a citation and a copy of each publication that any of the Applicants relied upon to develop the disclosed subject matter that

describes the Applicant's invention. This includes non-patent literature incorporated by reference into the specification. The Request for Information further requires a concise explanation of the reliance placed upon each publication in the development of the disclosed subject matter.

The following Symmetrix product manuals were incorporated by reference into the specification:

Symmetrix product manuals for 52XX, 5100, 3500, 32XX, and 3100.

The Symmetrix Model 5500 Product Manual, P/N 200-810-550, rev. G, August 1996, has been located and provided herewith. However, after a reasonable search, the remaining Symmetrix product manuals do not appear to be readily available.

The Symmetrix Model 5500 Product Manual, P/N 200-810-550, rev. G, was cited to demonstrate the state of the prior art.

The following IBM publications were incorporated by reference into the specification:

"Introducing Enterprise Systems Connection", Document Number GA23-0383-01, IBM Corp., 1991, a copy of which is provided herewith.

This document was cited to provide information to the reader about the IBM ESCON Architecture and interfaces.

"IBM 3990 ESCON Function, Installation and Migration", Document Number GG66-3213-00, IBM Corp., a copy of which is provided herewith.

This document was cited to provide information to the reader about the IBM ESCON Architecture and interfaces.

“IBM 3990 Storage Control ESCON Features Presentation Guide”. After a reasonable search, it appears that this document is not readily available.

“Enterprise Systems Architecture/390 ESCON I/O Interface and Enterprise Systems Architeture.” After a reasonable search, it appears that this document is not readily available.

The following document was not incorporated by reference, but a copy is provided herewith because of its similarity in title to the above unattainable reference:

“Enterprise Systems Architecture/390 ESCON I/O Interface, Document Number SA22-7202-02, IBM Corp., 1992.

To the Applicant’s knowledge, no other publications were relied upon to develop the disclosed subject matter that describes the Applicant’s invention.



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Conclusion

The Applicant has made a diligent effort to respond to the Request for Information. Should further questions arise concerning this Request or this Application, the Examiner is invited to call Applicant's attorney at the number listed below.

In the event any extension of time for responding are required for the pending application, please treat this paper as a petition to extend the times required and charge deposit account number 05-0889 therefore.

Respectfully Submitted,

Mary M. Steubing

Reg. No. 37,946

Attorney for Applicant

Steubing McGuinness & Manaras LLP

30 Nagog Park Drive

Acton, MA 01720

(978) 264-6664

February 6, 2003